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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

THE COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

In re the patent application of: Lo et al  
For: Method and Design of Epitaxial and Substrate Structures for High-Quality  
Epitaxial Growth of Lattice-Mismatched Structures  
Filed: February 10, 1999  
Application No.: 09/247,413  
Art Unit: 1775  
Attorney Docket No.: NOR-9

INFORMATION DISCLOSURE STATEMENT

List of Sections Forming Part of This Information Disclosure Statement

The following sections are being submitted for this information Disclosure Statement

1. ☒ Preliminary Statements
2. ☒ FORM PTO - 1449 (Modified)
3. ☐ Statement As To Information Material To Examination Not Found in Patents or Publications
4. ☐ Identification of Prior Application In Which Listed Information Was Already Cited and For Which No Copies Are Submitted Or Need Be Submitted.
5. ☐ Cumulative patents or Publications
6. ☒ Copies of Listed Information Items Accompanying This Statement
7. ☐ Concise Explanation of Non-English Language Listed Information Items.
8. ☐ Translation(s) of Non-English Language Documents
9. ☐ Certification under MPEP 609(e)
10. ☒ Identification of Person(s) Making This Information Disclosure Statement

CERTIFICATE OF MAILING

[X] Certified Mail No: 2051823386

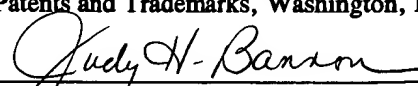
Date: 3-15-99

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GROUP 1700

  
Judy H. Barron

## Section 1. Preliminary statements

Applicant submits herewith patents, publications or other information of which he is aware, which he believes may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR 1.56.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 CFR 1.56(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

## Section 2. Form PTO - 1449 (Modified) (SEE ATTACHMENT)

\*EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw a line through citation if not in conformance or not considered. Include a copy of this form with the next communication to applicant.

## Section 3. Statement As To Information Material For Examination Not Found in Patents or Publications (Information not listed in PTO 1449)

## Section 4. Identification of Prior Application in Which Listed Information Was Already Cited and For Which No Copies Are Submitted Or Need Be Submitted

## Section 5. Cumulative Patents or Publications

☐ Item(s)

are cumulative of the following patents or publication listed on Form PTO-1449 (modified):

In accordance with 37 CFR 1.98(c) a copy of is being submitted with this information disclosure statement.

## Section 6. Copies of Listed Information Items Accompanying This Statement

Legible copies of all items listed accompany this information statement.

☐ Exception(s) to above:

☐ Items in prior application from which an earlier filing date is claimed for this application as identified in Section 4.

☐ Cumulative patents or publications identified in Section 5.

## Section 7. Concise Explanation of Non-English Language Listed Information Items

## Section 8. Translation(s) of Non-English Language Documents

☐ Submitted herewith is an English translation of the following foreign language patents, publications or information or of those portions of those patents, publications or information considered to be material:

☐ No English language translations of the foreign language patents, publications or information

or parts thereof are readily available, except for those listed above.

☐ The following foreign language documents submitted are believed to be the equivalent or substantial equivalent of the English language documents identified below, which are also submitted herewith.

#### Section 9. Certification under Rule 1.97

☐ The undersigned hereby certifies that:

a. This Statement is being filed after the latest of (1) three months after the filing date of a national application; (2) three months after the date of entry of the national stage as set forth in w 1.491 in an international application; (3) the mailing date of a first Office action on the merits.

b. The fee set forth in §1.17(p)

☐ Is being paid with this Information Disclosure Statement

☐ Is not due because:

☐ (1) Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement, or

☐ (2) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in # 1.56(c) more than three months prior to the filing of the statement.

#### Section 10. Identification of Person(s) Making This INFORMATION DISCLOSURE STATEMENT

The person making this statement is

(a) ☐ the inventor(s) who signs below

(b) ☒ the attorney who signs below on the basis of:

☐ the information supplied by the inventor(s)

☐ an individual associated with the filing and prosecution of this application (37 CFR 1.56(c)).

☒ the information in the attorney's file

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PTO/SB/21 (10-83)

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/247,413
Filing Date	02/10/99
First Named Inventor	Yu-Hwa Lo
Group Art Unit	1775
Examiner Name	
Attorney Docket Number	NOR-9

Total Number of Pages in This Submission **30**



## ENCLOSURES (check all that apply)

- |   |  |   |
|---|--|---|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment / Response<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input checked="" type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Response to Missing Parts/Incomplete Application<br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application)<br><input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition Checklist and Accompanying Petition<br><input type="checkbox"/> To Convert a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer | <input type="checkbox"/> After Allowance Communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):<br><div style="border: 1px solid black; padding: 5px; margin-top: 5px;">6 References</div> |
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Remarks

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## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Brown, Pinnisi & Michaels, PC
Signature	<i>C. Pinnisi</i>
Date	3/15/99

## CERTIFICATE OF MAILING

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20518233876

Typed or printed name	Judy Barron
Signature	<i>Judy Barron</i>
Date	3/15/99

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